

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
☒ Application No. 09/854,248, filed on 05/11/01,
☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor one MICHAEL SALGALLER Date: 7-31-01

Signature: Michael L. Salgaller Citizen of: U.S.

Inventor two ALTON BOYNTON Date: 7/30/01

Signature: Alton L. Boynton Citizen of: U.S.

Inventor three _____ Date: _____

Signature: _____ Citizen of: _____

Inventor four _____ Date: _____

Signature: _____ Citizen of: _____

☐ Additional inventors are being named on _____ additional form(s) attached hereto.

Burden Hour Statement: This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is used by the public to file (and the PTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 1 minute to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.
SE 5009342 v1

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PTO/SB-81 (02-01)

Approved for use through 10/31/2002. OMB 0651-0035

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POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/854,248
Filing Date	05/11/01
First Named Inventor	Salgaller
Title	Method to increase class 1 presentation of exogenous antigens by human dendritic cells
Group Art Unit	1614
Examiner Name	not yet assigned
Attorney Docket Number	020093000810US

I hereby appoint:

☒ Practitioners at Customer Number

20350

Place Customer
Number Bar Code
Label here

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number

☒ Firm or
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

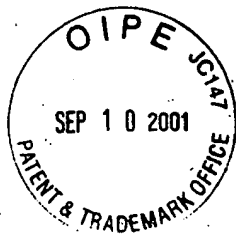
SIGNATURE of Applicant or Assignee of Record

Name	Alton L. Boynton, Ph.D.
Signature	<i>Alton L. Boynton</i>
Date	7/30/01

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ Total of 1 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. SE 5009344 v1



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TO THE U.S. PATENT & TRADEMARK OFFICE
Please stamp the date of receipt of the following document(s)

RE: Michael L. Salgaller et al

TITLE OF DOCUMENT(S):

- Transmittal Form
- Power of Attorney
- Declaration (37 CFR 1.63)

Application No. 09/854,248

File No. 020093-000810US

Date Due --

Date Mailed 08-10-01

Atty/Secty. BWP/jms

COPY



TO THE U.S. PATENT & TRADEMARK OFFICE
Please stamp the date of receipt of the following document(s)

RE: Michael L. Salgallar

TITLE OF DOCUMENT(S):

- Recordation Form Cover Sheet
- Assignment (copy)

Application No. 09/854,248

File No. 020093-000810US

Date Due --

Date Mailed 08-10-01

Atty/Secty. BWP/jms

COPY

Attorney Docket No. 020093-000810US

Form PTO-1595

(Rev. 03-01)

OMB No. 0651-0027 (exp. 5/31/2002)

Recordation Form Cover Sheet

PATENTS ONLY

U.S. Department of Commerce

U.S. Patent and Trademark Office

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To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

Michael L. Salgaller

Additional name(s) of conveying parties attached? ☒ Yes ☐ No.

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other: _____Execution Date: July 30, 2001

2. Name and address of receiving party(ies)

Name: Northwest Biotherapeutics, Inc.Internal Address: 21720 23rd Drive SEStreet Address: Suite 100City: Bothell State: WA ZIP: 98021Additional names and addresses attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No(s): 09/854,248

B. Patent No(s): _____

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Brian W. Poor
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): _____ \$40.00

☐ Enclosed☒ Authorized to be charged to deposit account8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.*Brian W. PoorName of Person Signing
Atty. Reg. No. 32,928Brian W. Poor
Signature10 August 2001
Date

Total number of pages including cover sheet, attachments and document 3

Mail documents to be recorded with required cover to:
Commissioner of Patents and Trademarks, Box Assignments
Washington, D.C. 20231

1. Additional name(s) of conveying party(ies):
(Continued from Page 1)

Alton L. Boynton

2. Additional name(s) and address(es) of receiving party(ies):
(Continued from Page 1)

3. Additional application number(s) or patent number(s):
(Continued from Page 1)

A. Patent Application No.(s)

B. Patent No.(s)

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Michael L. Salgaller, of 12517 80th Place N.E., Kirkland, WA 98034; Alton L. Boynton, of 2420 274th Avenue N.E., Redmond, WA 98053; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: METHOD TO INCREASE CLASS I PRESENTATION OF
EXOGENOUS ANTIGENS BY HUMAN DENDRITIC
CELLS

Date(s) of execution of Declaration: July 30, 2001

Filing Date: May 11, 2001

Application No.: 09/854,248; and

WHEREAS, Northwest Biotherapeutics, Inc., a corporation of the state of Washington, located at 21720 23rd Drive SE, Suite 100, Bothell, WA, 98021, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8th Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: July 30, 2001

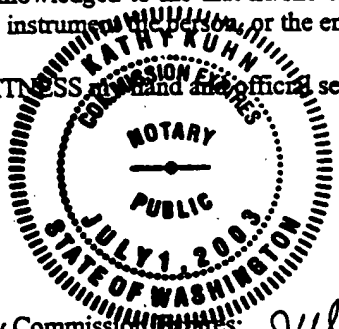
Michael L. Salgaller
Michael L. Salgaller

STATE OF WASHINGTON)
COUNTY OF Snohomish)

ss.

On July 30, 2001, before me, Kathy Kuhn,
personally appeared Michael L. Salgaller, personally known to me (or proved to me on the
basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and
acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on
the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.



My Commission Expires: July 1, 2003

Kathy Kuhn
NOTARY PUBLIC

Dated: July 30, 2001

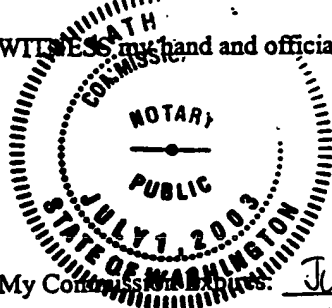
Alton L. Boynton
Alton L. Boynton

STATE OF WASHINGTON)
COUNTY OF Snohomish)

ss.

On July 30, 2001, before me, Kathy Kuhn,
personally appeared Alton L. Boynton, personally known to me (or proved to me on the
basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and
acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on
the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.



My Commission Expires: July 1, 2003

Kathy Kuhn
NOTARY PUBLIC